

Chief Compliance Officer
Office of Enterprise Compliance
April 12, 2011

Item 4b – Attachment 1

Board Assignment Status

Assignment Date	Request / Subject	Due Date	Status / Completed Date
Dec 2010	Allegation cases for Board Members and Executive staff should be investigated by an outside party.	TBD	Staff is researching and developing an escalation protocol to refer Ethics Helpline issues to an external party when deemed appropriate for external investigation or review.

Other Items of Interest

Item of Interest	Status / Completed Date
Program Activities	<ul style="list-style-type: none">• Form 700 Manager was hired, effective April 1, 2011.• Form 700 Analyst was hired, effective March 21, 2011.
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none">• Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing weekly summaries of compliance alerts to the Chief Compliance Officer.• CAMs worked with INVO and LEGO on Investment policy reviews.
Compliance Area Manager – Health	<ul style="list-style-type: none">• CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.
Compliance Area Manager – Pension	<ul style="list-style-type: none">• CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.